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ABSTRACT

The Independent Review Panel of the National Assessment of Chapter 1 recommends fundamental changes to the program, while endorsing its continuing vital role in meeting the special educational needs of poor and disadvantaged students. The program's focus on low-level basic skills, funding systems that discourage highest-level performance, money spread among too many districts and schools, and burdensome testing requirements that do not serve multiple purposes deter upgrading poor and low-achieving children's quality of education. The following 13 recommendations are provided: (1) reform the whole school emphasizing high standards and implementing new assessments; (2) emphasize higher-order skills and high standards for all students; (3) focus on outcomes and adopt new assessments to measure them; (4) the Federal Government should provide matching funds to states to help them implement the Panel's reforms; (5) intervene early and get parents involved in their children's (and their own) education; (6) extend Chapter 1 services to all limited English proficient students; (7) improve targeting of high-poverty schools; (8) provide incentives for good teachers to serve highest-poverty schools; (9) provide professional staff development for all staff; (10) involve parents in all aspects of the school program and enhance their ability to support their children's attainment of academic standards; (11) pay for coordination of services to students; (12) make services for private school children more equitable and effective; and (13) improve aid to truly migratory children. (RLC)

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U.S. Department of Education

STATEMENT OF THE

INDEPENDENT REVIEW PANEL

OF THE

NATIONAL ASSESSMENT OF

CHAPTER 1

February 1993

STATEMENT OF THE
INDEPENDENT REVIEW PANEL
OF THE
NATIONAL ASSESSMENT OF CHAPTER 1

The Independent Review Panel was established by Congress in the 1990 National Assessment of Chapter 1 Act (P.L. 101-305). The act called for the assessment by the Department of Education to be "planned, reviewed, and conducted in consultation with an independent panel of researchers, State practitioners, local practitioners, and other appropriate individuals including individuals with a background in conducting congressionally mandated national assessments of Chapter 1."

The Independent Review Panel was composed of people with diverse backgrounds and occupations who share a concern for improving the educational opportunities of America's most educationally disadvantaged students, especially those in schools with

the high concentrations of poverty. For the welfare of these students, their families, and the nation, these students must acquire the high-level skills and knowledge they need to obtain gainful employment and some form of postsecondary training.

The Panel convened 10 times following its initial meeting in January 1991. At subsequent meetings the Panel reviewed research already in progress; advised the Department of Education about other necessary research; consulted with Department officials, contractors, and practitioners concerning the status of educationally disadvantaged children and the implementation of the 1988 Hawkins-Stafford amendments; and requested special reports and presentations for Panel meetings. The Panel very much appreciates the contributions all these people made to our deliberations and to the National Assessment of Chapter 1. The Panel also met independently of the Department to discuss how it would fulfill its statutory mandate.

This Panel has agreed to recommend some changes that would transform the Chapter 1 program in several fundamental ways and

thereby better fulfill its purpose. Therefore, along with the Final Report to Congress on the National Assessment of Chapter 1, the Panel submits this report--its own statement to Congress and to the Secretary of Education. We do so not because we necessarily disagree with the Department of Education but because we have reached consensus on a set of ideas that we believe should inform reauthorization.

The Panel strongly endorses the continuing vital role of Chapter 1 in meeting the special educational needs of poor and disadvantaged students. Like its predecessor, Title I of the Elementary and Secondary Education Act of 1965, Chapter 1 established a legislative framework and resources that provide critical federal leverage to help states and local school systems meet the educational needs of disadvantaged students in 90 percent of the nation's school systems. That leverage remains important today.

Chapter 1 has had some remarkable accomplishments. It focused the attention of educators and policymakers on the needs of poor and educationally disadvantaged students. The legislation

explicitly recognized that concentrations of children from low-income families affected the ability of school systems to meet those needs. Chapter 1 deserves some credit for the narrowing of the achievement gap in basic skills between disadvantaged students and their advantaged peers from 1971 through 1988. (From 1988 to 1990, however, the gap for nine-year-olds widened substantially.) And Title I recognized the importance of getting parents more involved in their children's education long before parental involvement became the conventional wisdom that it is today.

The 1988 amendments to the Chapter 1 Act attempted to strengthen the law by introducing a schoolwide focus in the highest-poverty schools, an emphasis on advanced skills, a new accountability system, and better coordination with the regular program. These changes pointed in the right direction but made changes only at the margins.

Since the inception of the program 27 years ago, much has changed in education and the larger society. Research and practice

have demonstrated that children, regardless of economic circumstance, can achieve at high levels given the necessary support, expectations, and resources. Research in teaching and learning has challenged the prevailing assumption that children can learn complex skills only after they have mastered basic skills and has suggested instead that basic and advanced skills are better learned at the same time. The demographic and economic transformation of the United States has increased the number of educationally disadvantaged students in the United States while raising the level of knowledge and skills required for high-paying jobs. The growth in child poverty means that schools must serve many more children who lack the cognitive and language prerequisites for learning. Increasing numbers of immigrants to the United States pose additional challenges to public schools.

Of all the challenges Chapter 1 has had to face in the past quarter-century, perhaps the most significant is the demand for higher educational standards and performance spurred by state and federal political leaders. The adoption of National Education Goals has

established expectations that all students can attain high-level skills and knowledge in challenging academic subjects. These changed circumstances--better knowledge of promising practices for disadvantaged youth, major changes in skills required for success after high school, increasing numbers of students who are poor and lack proficiency in English--create the historic opportunity for Congress and the executive branch to examine whether Chapter 1 is fulfilling its purpose as effectively as it might.

The Independent Review Panel has concluded that several prominent features of the Chapter 1 program serve as deterrents to upgrading the quality of education in the nation's schools with the highest concentrations of poor and low-achieving children:

1. The Chapter 1 program is strongly rooted in the notion that 30 minutes a day of individual instruction will raise a child's achievement to what is "expected" for the child's age or grade. In fact, the whole school program needs reforming.

2. The highest de facto aim of the Chapter 1 program is to help children achieve low-level basic skills; the program is considered a success if children do not fall further behind. In fact, basic and higher-order skills need to be learned together and high standards set for all children.

3. The current system for allocating funds serves as a disincentive to raising the performance of participants to the highest levels they are capable of achieving, because once test scores show improvement, funds are reallocated to students and schools with lower scores. Chapter 1 funds should be allocated to eligible schools on a per-poor-pupil basis and retained to sustain academic improvement.

4. Money is spread among too many districts and schools. Many high-poverty schools and very low achieving students receive no assistance, while affluent schools receive funds for some students who score above the

50th percentile. Funds need to be better targeted on schools with high concentrations of poverty.

5. Testing requirements are burdensome and fail to serve any of their multiple intended purposes well. Norm-referenced, multiple-choice tests often are an impediment to good teaching and high achievement because teachers drill students on discrete items of information instead of engaging them in interpretation and problem solving. A new assessment system is needed.

This statement by the Independent Review Panel addresses these topics and related issues, and recommends actions that include serving students with limited-English-proficiency (LEP) on the same basis as other students in the Chapter 1 program, encouraging early intervention and parental involvement in their children's (and their own) education, coordinating various services to students, requiring professional development for Chapter 1 staff, providing incentives for good teachers to serve the highest-poverty schools, requiring the states and localities

to take more responsibility for serving migrant students, and improving Chapter 1 services for private school students.

The recommendations are grouped into five sections. Section I addresses whole school reform, high standards, and new methods of assessment and suggests the means for funding these reforms. Section II deals with preventing learning failure through early intervention and inclusion of all students. Section III addresses targeting to reach schools and students most in need. Section IV discusses the resources required to support the new focus for the Chapter 1 program. Section V deals with special Chapter 1 programs for private and sectarian school students and migrants.

I. Reforming the Whole School, Establishing High Standards, and Implementing New Assessments

The Panel agreed that the whole school program requires reform. High standards need to be established for all students in high-poverty schools and new assessment mechanisms put in place to hold

schools accountable for reaching those standards. Thus the Panel makes the following recommendations:

Recommendation No. 1: Reform the whole school.

Federal funds should be used to reform and improve the whole school program. No matter how good the Chapter 1 program is, supplementary services for 30 to 40 minutes a day cannot compensate for regular educational services with low expectations for the students, ineffective curricula and instructional practices, and inadequately trained staff and professional leadership.

Some local educators have embraced Chapter 1 schoolwide projects as an opportunity to reform the whole school instead of focusing on the needs of individual students. Reduced class size has meant that teachers can give a little extra attention to individual students. Teachers assume responsibility for all their students, including those who were formerly seen as the responsibility of the Chapter 1 program. School staff make time available for coordinated

planning and staff development directed at the goals they have set. Parental involvement is improved, and there is increased attention to the health and social service needs of children. Implementing schoolwide projects seems to work best where there is a local or state commitment to changing conditions in the poorest and lowest performing schools.

The overall results of Chapter 1 schoolwide projects have been meager, however. Schools eligible to adopt a schoolwide focus have been slow to do so. Well over half of the schools nationwide that could have chosen this option have not done so. Surveys and case studies have found that the motivations for adoption of schoolwide projects were mainly administrative convenience and the ability to hire more staff. Very few principals considered improving student achievement as an advantage or a goal of schoolwide flexibility. If the Chapter 1 program were infused with a strong mission to improve student achievement on high standards in all subjects, a schoolwide focus could more effectively be used to strengthen the regular program.

Too often the discussion about schoolwide projects centers on where to set the poverty threshold and how to provide traditional remediation to more students. Schoolwide reform must mean building an educational environment in which all students (including those who have LEP) are expected to aim for high achievement, providing a demanding curriculum, and employing instructional practices that engage students' minds and curiosity. Reform also means that knowledgeable teachers will teach the subjects in which they are certified and that the principal will be a strong instructional leader. Teachers and principals must control decisions on overall instructional goals, day-to-day strategies, and deployment of resources. All teachers and aides require continuous professional training to hone their pedagogical techniques and their subject-matter expertise, as well as their ability to help parents help their children learn.

Prevention of failure in school, not just remediation, should be another major goal of schoolwide reform. The law's current emphasis on meeting the special needs of educationally disadvantaged students

requires children to fail before they become eligible for assistance. Instead, when students show signs of needing extra help, they should get it right away without waiting for them to become "program eligible."

The Panel considered several options for determining the threshold at which schools would be able to operate as a Chapter 1 schoolwide project. Where the percentage is set depends on the extent of targeting. If individual schools with very little poverty and affluent school systems were eliminated from Chapter 1 and funds were targeted only to schools with the greatest need for federal assistance, all schools receiving Chapter 1 funds would be eligible to adopt the schoolwide approach. For example, the law could establish that a school had to have a minimum of 20 or 25 percent concentration of low-income students or be above the state or national average percentage of school poverty to be eligible for Chapter 1 funds and that all schools at or above that percentage could operate schoolwide.

Alternatively, if more adequate targeting were not achieved, Chapter 1 schools below the schoolwide threshold could target federal resources on low-achieving students but all teachers for those students would be considered part of Chapter 1 and would participate in professional development. In that way, there would be a nucleus of teachers, some funded by Chapter 1 and some not, who would be responsible for bringing all eligible children up to the performance standards. Schools over the threshold would be free to use Chapter 1 and all other resources on total school improvement geared toward helping all students attain the standards.

Recommendation No. 2: Emphasize higher-order skills and high standards for all students.

Chapter 1 must become the federal vehicle for assuring that all students in schools with high concentrations of poverty are taught the same higher-order skills and knowledge other children are expected to learn. States and local school systems must establish education standards for student learning and curriculum content that are applicable to all schools and students. There must not be separate standards for Chapter 1 schools or students.

As a program focused on individual educationally disadvantaged students, Chapter 1 requires that children be sorted by their prior achievement and remediation offered to those at the lowest achievement level. This practice can have the effect of creating different curricula and expectations for students of varying achievement levels. When students are removed from the regular program for "replacement" and "pull-out" classes, Chapter 1 is not even supplemental. The law's requirement that Chapter 1 instruction be coordinated with the regular

program may mean simply that Chapter 1 instruction is reinforcing the rudimentary skills that are taught in a child's regular "low ability" class. In that case, both the supplemental and regular program have established a very low ceiling for student achievement.

The federal government is already supporting the development of voluntary national standards in English, history, science, geography, the arts, and foreign languages, but those standards may not be adopted by all the districts that receive Chapter 1 funds in time for this reauthorization. But some states, and local systems as well, are developing standards and raising academic requirements, or have already done so. Congress could require that states establish performance standards in core academic subjects which will be applicable to all students, including students in Chapter 1 schools.

Content standards in local school systems should be encouraged as long as the standards comply with those the state has established. States that have already adopted content standards that meet professional criteria would simply submit them to the Secretary of

Education for use in Chapter 1 schools. The intent is to have a set of content standards--high and challenging--for all students.

The Panel did not consider the precise mechanism of federal approval of state standards, and we are not convinced that the Department of Education is equipped by itself to assume this responsibility. However, as the official responsible for carrying out congressional intent, the Secretary should have the final authority to approve performance standards.

A set of subject-matter content standards in each state would set a much higher aim for Chapter 1 schools. The schoolwide reform approach described in Recommendation 1 would relieve teachers and administrators of the need to categorize children and to maintain the rigid accounting of personnel and equipment. In return, the teachers and administrators would be expected to raise student achievement and to assure that all students are making adequate progress in attaining the standard for their age or grade in academic subjects. Much has been made in recent years of the need for greater flexibility in the use of

federal education funds. Along with flexibility must come accountability for attaining far higher outcomes.

Not only content standards but also proficiency levels or benchmarks for progress should be established. The objective is to measure the progress being made by individual students as well as the whole school. Kentucky, for example, has adopted four levels--novice, apprentice, proficient, and distinguished--as measures of how well individual students as well as whole schools are performing on the state's standards.

Flexibility also means more than simply letting all students have access to the reading lab, for example. It means the freedom to re-configure the school day, to foster cooperation among the instructional staff, to control school resources, and to be released from unnecessarily restrictive mandates covering grouping of students, minutes of instruction, detailed curriculum sequences, specific work rules, and other minutia of education procedures. Flexibility is not an end in itself but a means to accomplish the desired outcomes for every child.

Recommendation No. 3: Focus on outcomes and adopt new assessments to measure them.

Accountability systems must focus more on outcomes than on regulation of process and inputs. An outcome-based system of standards by which to hold schools accountable for results requires assessments. The current requirement in Chapter 1 of nationally aggregated scores based on norm-referenced, multiple-choice tests must be replaced with separate assessments for national evaluation, school accountability, and individual student progress.

Testing has played a large role in Chapter 1, often leading to more testing of Chapter 1 students than other students. The federal requirement for national evaluation of program effectiveness has driven states and districts to use norm-referenced tests because the results can be aggregated on a common scale. The same tool is used for other purposes such as identifying children for participation and allocating resources to and among students and schools.

This universal Chapter 1 measurement has had adverse consequences for Chapter 1 students and schools. Multiple-choice, norm-referenced tests do not tell us what students know and can do against a meaningful standard. The student who can choose the correct word to fill in the blank may not be able to write a complete complex sentence. Norm-referenced tests simply measure whether one student or one school is doing better than another student or school. The tests cover basic skills but underrepresent the kind of advanced thinking and comprehension skills that Congress stressed in 1988. Moreover, the emphasis placed on such tests distorts teaching and learning.

In addition, test scores are used in ways that create disincentives for working hard to raise student achievement. Tests determine which students are most in need of Chapter 1 services. If later test data show improved student achievement, funds are reallocated to other students and schools with lower test scores. Given the very low cut-off score used in many Chapter 1 schools to determine eligibility for services, students who "graduate out" of Chapter 1 may be performing better

than others but still not achieving their maximum potential.

The program improvement requirements instituted in the 1988 amendments place high stakes on demonstrating an increase in test scores to avoid the designation as a school in need of improvement. The Panel has heard disturbing reports that low-performing Chapter 1 students are referred to special education or retained in grade so as to "improve" a school's average test scores. This suggests that special education is viewed as an alternative to Chapter 1 and that the problem must lie with the student rather than with the Chapter 1 program. LEP students, as already mentioned, are also frequently excluded from Chapter 1 services and testing requirements because the law specifies that they be included only if an assessment determines that their poor educational performance is not due solely to lack of language proficiency.

A new assessment system must replace the use of this single tool. The new system would have three broad functions: (1) to serve as a national evaluation of Chapter 1 schools and students, (2) to serve

as a measure of school progress and accountability, and (3) to provide information about individual students for teachers and parents.

A national evaluation of Chapter 1 schools and students could be obtained through a periodic assessment based on a sample of students. This evaluation would give Congress and federal evaluators a picture of how well students in Chapter 1 schools are acquiring the skills and knowledge expected of students at certain ages.

A wholly separate assessment system is required for measuring school progress and accountability. Each state should create its own assessment system, directly tied to the standards that it has established statewide for all students. The assessments in the core academic subjects (mathematics, English, history, geography, and science) would be administered at several points in a student's school career. Total school results would be reported publicly by number and proportion of students attaining various proficiency levels. Results could also be disaggregated for subpopulations, such as race, gender, and income level, so that the progress of students who may be most at risk would

not be masked by schoolwide averages. These assessments would be used for holding Chapter 1 schools, school systems, and states accountable for increasing the proficiency of all students on the state standards in each subject. Schools that are not making progress would be subject to greater scrutiny, assistance, and intervention from local and state authorities.

In the classroom, multiple measures designed by teachers could gauge the progress of individual students and provide guidance to teachers, parents, and the students themselves regarding their academic strengths and weaknesses.

Assessment systems must develop measures appropriate to certain children. Most students who are disabled and who have limited proficiency in English should be held to the same standards of academic achievement expected of all students and they should be included in the assessments of performance. Otherwise, schools may not take seriously the need for these students to make adequate progress. The individual education plan for children with disabilities should incorporate the

academic standards applicable to all students whenever appropriate and consistent with a student's potential academic functioning.

Assessments for school accountability that are administered to students with disabilities must be adapted as appropriate to the student's disability. For example, the performance of students with visual impairments could be assessed orally or in Braille. If it is not possible to modify standardized instruments, performance assessments that provide a record of achievement over time may provide a more accurate measure of student achievement. LEP students should be assessed in the language of instruction, whether that is English or their native language, whenever practicable, as long as they have had sufficient instruction in the language in which they are tested.

Assessments must be appropriate for the age of the child. Very young children (prekindergarten through grade 2) should not be expected to take written examinations but they could be assessed on oral language and comprehension.

When Chapter 1 funds are used schoolwide, tests would not be used to determine eligibility for Chapter 1 services. Chapter 1 would serve as a catalyst for schoolwide reform. Schools would be held accountable for ensuring that all children are making progress toward achieving the academic standards. So that schools are not penalized for academic success by losing Chapter 1 funding, money should be allocated on a per-poor-pupil basis and remain at the school in order to sustain continued improvement. Test results would no longer be a factor in allocating Chapter 1 funds. In order to permit a degree of local discretion in spending federal and state funds where they are most needed, the law might take into consideration the use of state compensatory or school improvement grants, so long as there is no disincentive for striving for the highest possible academic achievement.

Recommendation No. 4: The federal government should provide matching funds to states to help them implement the reforms recommended by the Panel.

The reforms of Chapter 1 just recommended will require extra funds for costs involved in adopting content standards, developing curriculum tied to those standards, and developing new assessment measures. These costs could be met if the federal government were to provide matching funds to states for complying with the new requirements. These costs should not come out of Chapter 1 grants to states and districts, which are already insufficient to serve all eligible children.

II. Preventing Learning Failure, Intervening Early, and Including All Students

The new focus on schools requires intervening early to prevent students from failing and expanding Chapter 1 to include all needy students. Thus the Panel makes the following two recommendations:

Recommendation No. 5: Intervene early and get parents involved in their children's (and their own) education.

The Chapter 1 program should be used to prevent school problems rather than to treat them. To that end, more emphasis should be given to the early years when such intervention has high payoffs. Family literacy activities and programs such as Even Start should be made available to support and enhance the ability of parents to fulfill their role as children's first and most significant teachers.

Data unequivocally affirm the importance and cost-effectiveness of early intervention. Only a small percentage of Chapter 1 funds is spent on preschool and kindergarten children and their families, partly because there are other federal programs, such as Head Start, and some state funding. But there are other reasons as well for Chapter 1's low investment in early childhood education. One reason is the perceived eligibility requirements for young children. Although educational need is a requirement for eligibility, standardized tests for young children are not. Indeed, norm-referenced tests are not required under Chapter 1

for students below grade 3. Using such tests to assess the eligibility of preschoolers for Chapter 1 services, nonetheless, is widespread, costly, and unnecessary.

For preschool and kindergarten children who are not attending a school eligible for a schoolwide project, eligibility should be determined by poverty, not educational need. Other factors--including biological risk, diagnosed medical disorders, family education, and household characteristics--also should be considered.

The limited investment of Chapter 1 funds in early childhood programs stems also from too narrow a conception of what "early childhood education" means. It should span services for children from birth to age eight and for their families. Moreover, gains for preschoolers will be sustained only when the investment in services to give children an early advantage is continued in the elementary grades. Comprehensive services are especially important for the youngest children.

Because we know that parents are children's first, most important, and most durable teachers, the Chapter 1 program should encourage parental education and training for self-sufficiency. Wherever possible, Chapter 1 resources should be combined with other resources to accomplish these ends.

Recommendation No. 6: Extend Chapter 1 services to all LEP students.

Chapter 1 should be the primary vehicle of the federal government for providing assistance for all children who attend schools with high concentrations of poverty. Toward that end, the Chapter 1 law should be changed: Students with limited English proficiency should not be excluded from the benefit of Chapter 1 services because the source of their education problems is their lack of fluency in English.

Under current law, LEP children are not eligible to participate in the Chapter 1 program if the source of their educational problems is

their lack of fluency in English to perform ordinary classroom work in English. The assumption is that other funds, such as the federal Title VII program, are earmarked for serving the language acquisition needs of these children. Few districts, however, receive Title VII funds because, unlike Chapter 1, Title VII is a competitive grant program, not a formula-driven program.

LEP students often get far too little timely help dealing with their problems in school. They learn English eventually, but what they learn may not be the language needed for academic development. By the time they do learn English, they are so far behind their peers in school that they never catch up with them academically. The goals for LEP students are English proficiency and academic success.

The retention and development of the home language and culture are important in all grades, but especially so in the early years. Many children start their formal schooling with no knowledge of English. Chapter 1 preschool programs using only English do a disservice to non-English-speaking families whose children drop and eventually lose

their primary language--and with it their ability to communicate with members of older family generations. Whenever possible, instruction for young children should use the home language while they learn English.

Revision of Section 1014 D of Chapter 1 would eliminate barriers to serving LEP students. That change, along with other recommendations regarding staff development and information in the home language for the parents of LEP students, would go a long way toward meeting the education needs of the fastest-growing segment of the school-age population.

III. Targeting to Reach Schools and Students Most in Need

The Chapter 1 program suffers from trying to be all things to all people--targeting money to schools with high concentrations of low-income families while spreading money around to as many districts and schools as possible. There are no perfect solutions to these problems but there are alternatives that would distribute funds more in accord

with the research findings on achievement in schools with high concentrations of poor children while maintaining political support for the program. The Panel believes that it is unconscionable for this program to be spending money on children who are achieving above the national average while other children in the lowest achievement group get no assistance at all. The Panel therefore makes the following recommendation:

Recommendation No. 7: Improve targeting of high-poverty schools.

Chapter 1 should place greater priority on reaching the most educationally disadvantaged students who are disproportionately concentrated in high-poverty schools, many of whom are not now being served.

Chapter 1 recognized from its inception in 1965 that the incidence of low-achieving students is much greater in schools that have high concentrations of poor children than in schools that have few poor students. The National Assessment of Chapter 1 in 1987 found that a concentration of poor children in a school multiplies the adverse effect

of poverty on a child's academic achievement, independent of the family's economic circumstances. Conversely, a poor child who attends a low-poverty school is likely to have higher academic achievement. These findings are confirmed by the Prospects Longitudinal Survey in 1992. As reported in the Interim Report of the present National Assessment:

- The incidence of low-achieving Chapter 1 students is three times greater in schools with high concentrations of poverty than in schools with low poverty.
- The average achievement of students in high-poverty schools is lower than the achievement of Chapter 1 students in low-poverty schools.
- Although Chapter 1 disproportionately targets high-poverty schools and the lowest achievers (i.e., below the 30th percentile), 18 percent of Chapter 1 third-graders were performing above the 50th percentile while 60 percent of the very lowest achieving third-graders were

receiving no Chapter 1 reading services.

As a result of the distributive mechanisms employed to allocate funds, some very affluent districts receive money while inner-city and rural areas with high concentrations of poverty are forced to deny funding to some very poor schools and very disadvantaged students.

The Chapter 1 formula counts numbers but not concentrations of poor children; any county in the United States with at least 10 poor children is eligible for Chapter 1 funds. In 1988, in an attempt to target more on higher-poverty areas in allocation, Congress reintroduced concentration grants. Counties are eligible for concentration grants if they have at least 6,500 or 15 percent of the children ages 5 to 17 living in poverty. Concentration grants, however, account for only 10 percent of all Chapter 1 funds. Sixty percent of all counties receive concentration grants, consequently these grants produce only a modest improvement in targeting.

Federal law does recognize concentrations of poverty within districts by requiring that schools at or above the districtwide average of poverty receive money, but there are several exceptions to this requirement which makes it possible to distribute money more widely. Districts face enormous political tensions in their choice between making as many schools as possible eligible and narrowing the selection criteria to maximize the impact of Chapter 1 in schools that need it the most.

The Problem of Measuring Poverty

The data used to determine who is poor creates an additional problem with targeting. The Chapter 1 formula uses decennial census data, which are an unsatisfactory measure of poverty for several reasons:

- Census data are widely believed to undercount poverty, particularly in cities.
- These data do not reflect economic and social changes

over the decade among and within states; they impose a snapshot of one point in time across 10 years.

- The Census defines poverty by a nationwide index that does not reflect regional cost of living differences.
- These problems are made more intractable by using counties as the unit of measurement, because there is no database for poverty statistics at the school district level.

At the district level, counts of students receiving free and reduced-price lunch are commonly employed to determine which schools are eligible because schools do not maintain current information on family income for all students. But those data also undercount students because parents have to complete an application. For reasons having to do with culture, legal status, and stigma, parents may not submit a lunch eligibility form to the school.

Options to Improve Targeting

The following options, singly or in combination, should be seriously considered to improve the targeting of Chapter 1 resources to those schools which need the help the most. Any of these recommendations is likely to have different effects in different localities. Use of any of these options must not create a disincentive to desegregate schools:

- The basic threshold for receiving any Chapter 1 funds should be increased; for example it could be raised from 10 poor children in a county to 10 percent poor children in a district.
- Concentration grants with the current thresholds could be increased from 10 percent to a higher proportion of total

appropriations, such as 30 percent or 40 percent.

- Each state could calculate its statewide average concentration of poverty in schools, using data for only those students who are eligible for free lunch. Each school in the state that equaled or exceeded that average or the national average, whichever is greater, would be designated Chapter 1-eligible. The state would then distribute funds to districts based on the count of poor children in the district's Chapter 1-eligible schools. The district could then choose to serve some or all of its eligible schools. This proposal would concentrate funds more intensively on the highest-poverty schools.
- Concentration and basic grants could be combined and a weighting factor (based on varying levels of poverty) assigned to school systems. For example, a school district in which 60 percent of the children are poor would receive more dollars per poor child than a district

in which only 15 percent of the children are poor. Such a system would recognize concentrations of poverty to a greater degree while reducing funds to less poor districts.

- To alleviate the stigma that some parents and students attach to applying for free and reduced-price lunch, schools with very high concentrations of children receiving Aid to Families with Dependent Children (AFDC), children living in foster homes or homeless shelters, or children of immigrants could simply count all these children as eligible for a free lunch. Another possibility already used by some large urban districts is to use a composite index of various measures of poverty instead of a single one, in order to reflect the presence of poor children more accurately.

IV. Resources Required to Support the New Focus for Chapter 1

Changing the focus for the Chapter 1 program requires that the highest-poverty schools have fiscal resources, highly trained personnel, support for parents,and coordination of health and social services for students. To these ends, the Panel makes the following recommendations:

Chapter 1 funds have always been intended to be supplementary to state and local expenditures for education. This requirement has always applied within districts, but the law does not take into account disparities in district revenue per pupil, tax effort, cost-of-living, and the greater needs of students in schools with high concentrations of poor children.

Chapter 1 has historically required that federal funds supplement, not supplant, state and local expenditures. A measure known as "comparability" was introduced as a means of determining whether Chapter 1 funds were supplementary. Districts had to demonstrate that their Chapter 1 schools were "substantially

comparable" to the average of non-Chapter 1 schools on a per-pupil basis with respect to certified staff, noncertified staff, and instructional materials. Salary increments due to seniority were exempt from the computations. Current requirements are considerably less stringent, requiring only a showing of comparability on either a ratio of students per total staff or a ratio of per-pupil expenditures.

Comparability is designed to assure that Chapter 1's supplementary funds are used to provide to Chapter 1 students services that they would not have received in the absence of federal funds. Comparability historically has been treated as an issue within districts. Research done for this National Assessment suggests, on the basis of a limited sample, that high- and low-poverty schools within districts are comparable but that comparability does not extend across districts. The absence of an even base is attributable to variations in district revenue per pupil to support education. Other research shows that these differences in district revenue exist in virtually all states, to one degree or another. Concentrations of poverty are found both in low-revenue

and high-revenue districts.

The research further suggests that spending equal dollars per pupil in high- and low-poverty schools does not in fact establish an even base, because schools with large concentrations of poor children have far greater needs than those with only a few poor students. Because the research concerning Chapter 1 resources in the context of state and local expenditures was not completed until after the Panel's last meeting, it did not discuss specific recommendations to remedy intra-state inequities. However, the Panel did agree that incentives to attract the most highly qualified teachers, professional development for all staff, parental involvement and coordination of health and social services for students are essential to achieving the goals of a newly reauthorized Chapter 1.

Recommendation No. 8: Provide incentives for good teachers to serve highest-poverty schools.

The Panel recommends that Congress consider a program of incentives to attract and retain the most highly qualified teachers to serve in the highest-poverty schools.

Schools serving large concentrations of poor children are likely to have the least well-trained classroom teachers and the fewest extra resource teachers. These same schools also employ many Chapter 1 aides who are providing instruction, even though many of them have only a high school diploma. These schools need a stable cadre of experienced and highly trained teachers and other professional staff with the subject-matter expertise and pedagogical skills to help all children meet much higher academic standards.

The National Board for Professional Teaching Standards is designed to identify and certify teachers with these qualifications. Earning National Board Certification promises to be the most rigorous national indicator of qualifications and experience. The process of

National Board Certification is scheduled to begin shortly after Chapter 1 is reauthorized. To maximize the opportunity for National Board-certified teachers to work in the highest-poverty Chapter 1 schools in each state, Congress could adopt two kinds of incentives:

1. The federal government could provide incentive pay directly to National Board-certified teachers working in high-poverty schools. A salary supplement might induce board-certified teachers to transfer to or remain in these schools; such a supplement might further provide an incentive for teachers already in high-poverty schools to seek National Board Certification. The certified teachers, for example, could receive an additional $2,000 to $3,000 or a fixed percentage of their base salary directly from the federal government. These salary supplements should be funded separately from basic and concentration grants.

2. The federal government could provide financial incentives to local school districts for each National Board-certified teacher assigned to high-poverty schools, thus reducing the cost of assigning more highly paid teachers to schools where they are needed the most.

Recommendation No. 9: Provide professional staff development for all staff.

Teachers, paraprofessionals, and administrators must have help in accomplishing the new goals of Chapter 1. Such assistance must include professional development opportunities to enhance pedagogical skills and subject-matter competence, which are tied to content standards, and to improve communication with parents. Chapter 1 funds should be combined with other teacher-training programs supported by the federal government to achieve these ends.

Professional development for all staff in Chapter 1 schools is

essential to improve the ability of these schools to raise students' academic performance. Some Chapter 1 funds are now spent on staff development, especially in schoolwide project schools, but they are devoted to discrete and unrelated topics not connected to an overarching goal of school change and higher performance. Although the Panel would like to move away from categorical restrictions that tie educators' hands, some members fear that unless a portion of a school's Chapter 1 allocation is mandated for professional development, money will be spent on hiring personnel and purchasing equipment rather than on training and release-time for staff. Investments are required at three levels--at the local school and district level, at the state level, and at the federal level.

At the local level, funds should be available for each Chapter 1 school and each local education agency to plan for school change, to pay for release-time, to work on curriculum development in line with new standards, to hire mentor or lead teachers, and to engage in other capacity-building activities.

School staff need to be engaged in long-term training efforts. Self-examination is needed to persuade staff that change is needed. Teachers, paraprofessionals, administrators, and parents should be involved in designing professional development activities that will enable staff to acquire the skills and knowledge they identify as important for successful teaching. Above all, the professional development should be geared to the curriculum and teaching methods best calculated to meet the standards that the schools are striving to attain. In that way, the investment will not be frittered away on things which teachers and administrators think will help but which turn out to be of little assistance to them or to the students. In schools that enroll LEP students, professional development funds should be spent on training and helping the teachers who serve these students gain appropriate credentials.

The role of the state is to create suppliers of high-quality professional development services that schools and districts may purchase. State education agencies should not augment their own in-

house capacity but should stimulate the development of professional assistance through proposals from private agencies, institutions of higher education, local school systems, and others, and should contract only with those most likely to provide services of the highest quality. Once these entities are established, their continued existence would depend on the quality of and demand for their expertise.

The federal role would be to evaluate and disseminate information about sources of professional development that have a proven record of effective work in Chapter 1 schools. Serious consideration should be given to consolidating numerous federally supported technical assistance centers. Teachers rarely have professional networks that connect them with the best available resources. Chapter 1 professional development funds would fill that void by creating a national clearinghouse to disseminate information through newsletters, videotapes, and teleconferences.

Recommendation No. 10: Involve parents in all aspects of the school program and enhance their ability to support their children's attainment of academic standards.

The historic commitment of Chapter 1 to parent involvement must be re-energized and refocused on attaining the higher learning outcomes embodied in the new standards and proficiencies required of all children. Family literacy activities and programs such as Even Start should be made available to support and enhance the ability of parents to fulfill their role as children's first and most significant teachers.

The Chapter 1 program must continue to mandate the involvement of parents in their children's education. The legal mandates too frequently result in pro forma compliance rather than genuine parental involvement. Without the mandates, however, parents' own efforts to be involved will be frustrated. School district and state leadership, and a commitment of resources to foster meaningful parental engagement, will be undercut.

The shift of Chapter 1 from being an appendage to the regular

program to being an agent of reform for the regular program should not be an excuse for deemphasizing the support and involvement of hard-to-reach parents. When educators ask parents how the school can meet their needs--whether they be home-based learning activities, continuing education, or English classes--the parents are more likely to become involved because the school is responding to them rather than to teachers' interests and needs. Schoolwide projects will create many new opportunities for bringing all parents into the education enterprise and for working with other community agencies devoted to the welfare of children. Chapter 1 parents and their children will not be viewed as a separate part of the school community.

Parental involvement requires a coordinated approach:

- The schools must provide training for parents on how to evaluate the school's effectiveness in achieving the standards, including what the standards mean, how the assessments will be used, how the funds will be spent, how the outcomes should be evaluated, and how the

school's deficiencies should be diagnosed and remedied.

- The schools must make direct contact with every child's parents, family, or other adult related to or caring for the child at least once a year, preferably at least twice a year, to discuss the child's progress and ways in which both the school and the family can sustain or increase that progress.
- The schools must support parents through programs such as Even Start, family literacy, and other two-generation programs, which enable adults to improve their own educational skills so that they can help their children do well in school.
- Each school should have a professional coordinator for parents (or one for a small district) to plan parent meetings, to provide parents with work and activities children can do at home, to attend regional and national meetings featuring exemplary programs of parent-school

partnerships, and to make home visits to encourage parental participation in school activities.

- Each school should have all Chapter 1 legal requirements, regulations, or policy guidance pertaining to the role of parents available in languages understandable to parents.
- Schools should use Chapter 1 and other resources to pay parents' expenses for attending school meetings or for attending regional and national training sessions, and to pay teachers for home visits after school hours.
- Schools must provide Chapter 1 professional development for staff, which includes sustained attention to family-school interactions, with special focus on maximizing the engagement and strengths of culturally and linguistically diverse populations to participate and contribute.

The Panel recommends that Chapter 1 provide new,

supplementary mechanisms to support parental involvement which do not rely exclusively on schools and districts to provide training. There are two options:

1. to encourage districts and schools to contract with nonprofit, community-based organizations chosen by parents to help them understand the goals of Chapter 1 for their children and to assess the performance of their own children, as well as that of the entire school; and
2. to fund parental assistance centers, similar to those for the parents of disabled students, in each state with a separate line item in the Chapter 1 appropriations.

Recommendation No. 11: Pay for coordination of services to students.

In order to succeed in school, all children in a Chapter 1 school must have access to health and social services. Those services might be delivered at the school or linked to off-site, but accessible, health clinics and social service agencies. Chapter 1 would not pay for these

services but could pay for their coordination.

It is a maxim that healthy children from healthy families learn better than children who have health problems. Student health problems can be severe in high-poverty neighborhoods. Many children and their families are eligible for and require the assistance of other federal, state, or privately funded programs but fall through the cracks because they are not aware of or have no access to multiple-service providers. The job of helping students and parents locate the services they need often falls to teachers and the principal.

Children and parents have easier access to health and social services if those services are in one location, and schools are often the easiest place for families to reach. Moreover, multiple services at a single site can encourage collaboration by using a common intake, assessment, and information system, so that numerous services can be coordinated to reinforce one another.

New legislation should encourage the use of Chapter 1 funds to start collaboration among children's services at Chapter 1 schoolwide

project sites. Chapter 1 funds could "glue" multiple services together. For example, a coordinator funded by Chapter 1 in each eligible school (or one for a small district) could assure that:

- Medicaid-eligible children receive Early and Periodic Screening, Diagnosis, and Treatment (EPSDT);
- all children are immunized and screened for lead poisoning;
- parents are directed to early childhood services, day-care programs for very young children, before- and afterschool programs, tutoring services, job referral agencies, shelters, family crisis centers, or other social services;
- parents get help in applying for various services;
- all children are attending school; and
- professional, college student, or volunteer

services are used to the fullest extent.

Parents must be involved from the beginning in planning and implementing a coordinated service approach, so that they feel as if they have some control over decisions being made on behalf of themselves and their children. In this way, parents are more likely to use the available services and to encourage other parents to do the same. Teachers also must be consulted and involved, so that they know how to make referrals and in turn learn what services a child has received.

V. Special Chapter 1 Programs

The Panel has two recommendations to improve the equitability and effectiveness of Chapter 1 services for students in nonpublic schools and to improve services for migrants by focusing on truly migratory children:

Recommendation No. 12: Make services for private school children more equitable and effective.

In 1965 Title I struck a compromise whereby state and local authorities were to act as "public trustees" to ensure that educationally disadvantaged students attending private and sectarian schools located in Title I public school attendance areas received services on an equitable basis. This goal was accomplished primarily by having Chapter 1 teachers serve students on the premises of religiously controlled schools. In 1985 the Supreme Court decision in Aguilar v. Felton held this practice to be unconstitutional.

The Felton decision has created substantial logistical and educational problems in delivering Chapter 1 services to eligible children in nonpublic schools. The prohibition against direct teacher instruction on sectarian school premises has led to the provision of Chapter 1 services in mobile vans parked near private schools, in portable classroom on neutral sites, in the public schools from which parents may have withdrawn their children, and through computer-

assisted instruction in private schools with no instructional personnel present.

Private school participation fell precipitously after Felton. Congress provided capital expense funds beginning with the 1988 reauthorization to allow school districts to purchase or lease mobile vans. Over and above capital expense funding, millions of dollars were used to purchase and install computer hardware and software in private schools. Private school participation has increased but not to pre-Felton levels.

The private school community believes that the Felton decision has had the effect of converting "public trusteeship" into "public control." States and local school systems have, in the view of private school officials, controlled the types of services and delivery, often dictating options that private school officials and parents judge to be inequitable and ineffective. Vans parked on street corners pose safety problems for children. Traveling to off-site locations disrupts school schedules and takes away from instructional time. Communication

between private school educators and Chapter 1 instructors in off-site vans and portable classrooms in problematic--ineffective at best and nonexistent at worst. Consequently, there is little congruence with the regular instructional program.

Computer-assisted instruction has been a boon to computer and software vendors but not necessarily to students in nonpublic schools. Students work at computer terminals under the supervision of noninstructional technicians who maintain order and ensure that the computers are functioning. Student work may be monitored by a Chapter 1 teacher in a central location or in a mobile van outside the school but not side-by-side as the student progresses through the lesson. Computer malfunctions result in lost instructional time.

Furthermore, computer-assisted instruction is not judged to be particularly educationally effective. It is designed chiefly for drill on basic skills, thereby denying private school children thinking, comprehension, and problem-solving practice. Computer-assisted instruction has become an administratively convenient way to deliver

Chapter 1 services in compliance with Felton and to boost participation rates, but it has not provided the enhanced education improvement contemplated by the 1988 amendments.

There are several options for providing equitable and high-quality educational services to private school students:

- The content of computer software could be substantially upgraded to include higher-order thinking skills. Such programs do exist although they are not generally available.
- Better and more frequent coordination between public and private school officials would help resolve some frustrations on both sides. Much greater use could be made of video-teleconferencing through the federally funded Star Schools Network.
- Some states and Puerto Rico have used third-party contracts under which the private school program is in effect contracted out to a private company, which then

provides direct teacher instruction in a neutral site. In the view of the private school community, this third-party contractor option could be used more extensively than it now is.

These options, however, require public school authorities to be held responsible for the delivery of equitable and educationally effective services. That is what "public trusteeship" means. Improving the quality of instruction, as measured by student improvement, is just as important as increasing the numbers of eligible children served. Public school officials should not dictate to private schools the delivery of services. Greater consultation with private school authorities about the most educationally and cost-effective methods of delivery should improve services.

Upon a showing by private school officials that a local education agency has failed to provide equitable and effective educational services, the state or the U.S. Department of Education should require changing the Chapter 1 program for private schools to meet the needs

of students for instruction in basic and advanced skills. If third-party contractors or some other technology or configuration of services can meet these needs in a more cost-effective manner, the program ought to be changed accordingly. Local public school authorities should not be able to veto the use of third-party contractors, or indeed any single method of delivering services, unless they can prove that the present program meets the requirements of the law in the most cost-effective way. What best serves the educational needs of Chapter 1 eligible private school students should be the test.

Recommendation No. 13: Improve aid to truly migratory children. *The Chapter 1 Migrant Education Program (MEP) should be restructured so that it more effectively serves students who are truly migratory. The regular Chapter 1 program, especially schoolwide projects, should include the children of formerly migratory agricultural workers and fishers who have "settled out" in local school districts.*

Chapter 1 provides $308 million for direct instructional or

support services to approximately 60 percent of the 597,000 children of migratory workers in agriculture and fishing, who are the most vulnerable of America's poor children. In addition to living in poverty, these children suffer from a lack of proficiency in English, disrupted schooling, cultural isolation, and, in some instances, their status as undocumented workers admitted to the United States specifically to harvest agricultural produce.

Since its creation in 1966, the Chapter 1 MEP has provided invaluable instructional and support services to migratory children and their families during the regular school year and the summer. Migrant programs have a direct relationship with, and serve as advocates for, migratory families and their children. Through its positive relationship with migratory parents, the Chapter 1 MEP sets an example for many regular Chapter 1 programs.

The legislation defines migratory children eligible for services under the Chapter 1 MEP as "currently" migratory (those who have moved within the previous 12 months) and "formerly" migratory (those

who have moved within less than five years). Forty-seven percent of the children so identified are "currently" migratory; the other 53 percent have "settled out" and are regularly enrolled in local school systems.

Of the 597,000 potentially eligible migratory children in the 1989-90 school year, 62 percent--371,000--actually received Chapter 1 MEP services during the regular term. While federal policy gives priority for services to the currently migratory students, state-reported data indicate that fewer currently migratory students are served than formerly migratory ones (162,000 versus 209,000) in the regular term.

In the summer term of 1990, 21 percent of both currently and formerly migratory students were served. This means that most of the students receiving services during the summer are formerly migratory students. Research demonstrates that those who are currently migratory are at somewhat greater risk of educational failure than those who have been settled out for longer than a year or two, and that the proportion of children who are especially needy declines over time once they stop

migrating.

The Panel has two overriding concerns about this valuable program:

1. Why does the MEP--a federal program for migratory children--mostly serve students who should be the responsibility of state and local governments?
2. Why does the MEP place a premium on recruiting formerly migratory who are easier to identify, for purposes of securing scarce federal dollars, while many currently migratory students are not served at all or receive minimal services?

Who Is Responsible?

The special educational needs of migratory students are often treated as the primary or exclusive responsibility of the Chapter 1 MEP. Although the MEP was designed as a supplementary program, one to be used only as a last resort in meeting the unique and special

needs of these children, the MEP is often used as a program of first resort. More than half (53 percent) of the migratory children listed on the national computerized database, the Migrant Student Record Transfer System (MSRTS), and enrolled in school, as defined by the law, have not had a "qualifying move" within a year and should be considered the responsibility of the states and local public schools. In addition, almost a third of the currently migratory students in regular school year programs and one-quarter of those in summer programs have migrated within a state and not from one state to another.

There are a large number of migratory children whose special educational needs are not being met by any other supplementary program to which they may be entitled as a matter of law. The Chapter 1 MEP is the only source of supplementary education services for 71 percent of migratory children during the regular school year. The only other significant source of instructional assistance is the regular Chapter 1 program, which serves about one-quarter of the migratory students enrolled during the regular school year. Other

migratory children do not receive services either because they have missed the date for the test that determines eligibility or because they are enrolled in a school or in a grade that does not receive Chapter 1 regular program funds.

Counted But Not Served

Program staff recruit and identify eligible migratory children for the purpose of determining how much federal money a project will receive, but not all eligible children receive services. Projects and states compete with each other for limited federal dollars. To keep track of the children who are counted, $8 million is spent on the MSRTS. In addition, as many as 1,000 people are employed in state and local agencies to enter and retrieve data.

Congress authorized the MSRTS in 1974 to facilitate the transfer of pertinent student information from one school and district to another as children moved with their parents from one field or orchard to another. Whatever the original justification for this computer network,

the majority of students receiving special help do not migrate during the school year. For those who are currently migratory, MSRTS is no longer the primary method of transferring student records. School systems exchange information about migratory students the same way they do for all students--by mail, telephone, and fax.

Research shows that the primary use of the MSRTS is to document program eligibility and migratory status, on the basis of which federal funds are allocated among migrant education projects and demographic information is provided for state plans.

For this most needy population, the Chapter 1 MEP should be converted into a formula state grant program based on counts of migratory workers, and it should serve all currently migratory children during both the regular school year and the summer as a supplement to the regular Chapter 1 program. The special educational needs of formerly migratory children should be met by the regular Chapter 1 program in the school term and by the MEP in the summer for up to five years. All currently migratory children and those who have

migrated within two or three years should be automatically assessed for eligibility and provided appropriate services within the regular Chapter 1 program just as nonmigratory children are, regardless of whether the regular program serves those children's grade and school. Both currently and formerly migratory children should be served by federal and state bilingual and other special education programs for which they may be entitled.

The congressionally mandated National Commission on Migrant Education has made a number of recommendations to upgrade the technical capacity of the computer network, including installing more terminals in schools. In light of the severe educational needs of this population and the lack of services to so many migratory children, the $8 million in direct expenditures and personnel salaries could be spent instead on a migrant teacher corps. Teachers, student records and educational materials would travel with migratory families providing a continuity of instruction and referral to health and social services.

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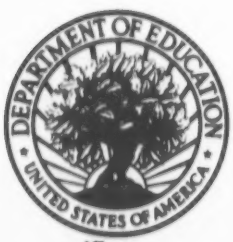
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